

## Introduction

**Program Overview:** On September 1, 1998, HUD published a final rule that established a new system for the assessment of America's public housing. The new system, the Public Housing Assessment System (PHAS), is designed to enhance public trust by creating a comprehensive tool that qualitatively and quantitatively measures a public housing agency (PHA) based on standards that are objective and uniform.

Under PHAS, HUD evaluates a PHA based on the following four indicators:

- & (1) Physical Condition
- & (2) Financial Condition
- & (3) Management Operations
- & (4) Resident Service and Satisfaction

This instruction guidebook is designed to assist PHAs in the completion of the PHAS Management Operations Certification, form HUD-50072, in preparation for electronic submission. With respect to PHAS indicators #2, #3 and #4, a PHA is required to electronically submit its year-end information within two months after the end of its fiscal year.

As a part of PHAS, the management operations indicator #3 replaces the Public Housing Management Assessment Program (PHMAP), which has been in place since 1992. The Management Operations Certification contains six of the same management indicators that you worked with under PHMAP, except that under the revised certification those indicators are called "sub-indicators." The financial and energy consumption indicator is now being assessed under PHAS Indicator #2 - Financial Condition and the PHMAP resident services and community building Indicator, is now PHAS Indicator #4, Resident Service and Satisfaction.

The PHAS Management Operations Certification reflects a change in sub-indicator #2, "Capital Fund," which has been previously known as indicator #2, "modernization," under PHMAP, with the data to score this indicator being entered by the HUD Hub/Program Center. Under the PHAS rule, this has changed. While the assessment criteria are the same as they were under PHMAP, the PHA will certify to the accuracy of its own assessment data, as submitted through the certification, rather than the data to score this sub-indicator being entered by the Hub/Program Center.

A PHA's PHAS score for indicator #3 will be based on all of the developments covered by the Annual Contributions Contract (ACC), including those with management functions assumed by a resident management corporation (RMC) or an alternative management entity (AME). This is necessary because of the limited nature of an RMC/AME. A PHA may enter into a management contract with an RMC/AME, but the PHA's underlying responsibilities are to the Department under the ACC.

In addition, PHAs should utilize this guidebook as guidance for the types and quality of management performance information that they are expected to maintain (for a minimum of three years) in order to support the management performance portion of their annual PHAS score.

**Purpose:** The purpose of this Instruction Guidebook is to assist the PHA on the annual submission of the PHAS indicator #3, Management Operations Certification.

This Instruction Guidebook is designed to serve as general guidance, and although it present specific examples for several sub-indicators and components, it is not intended to mandate exact methods of documenting or confirming performance.

Please note, modifications and exclusions, which were allowable under PHMAP, no longer apply under PHAS.

**Integrity:** There are several methods that a PHA may use to ensure the integrity of its PHAS process. Such methods include, but are not limited to:

- & Monthly reports to the Board of Commissioners that include all aspects of PHAS, especially Indicator #3 (Management Operations, which requires a board resolution number and date as part of the electronic submission);
- & Periodic reports to the appointing authority(s) of the Board of Commissioner that include all aspects of PHAS;
- & An internal PHA audit team that reviews all aspects of the PHAS, on a periodic basis; and/or
- & Peer assistance from a neighboring PHA in the conduct of an internal audit of a PHA.

**Documentation Maintenance:** The Department is placing extra emphasis on the importance of a PHA's maintenance of documentation to support its PHAS certification (especially documentation related to Management Operations Certification). Without documentation, an independent auditor review is impossible and a PHA is subject to scoring a zero for PHAS indicators requiring PHA self-certification. As previously mentioned, a PHA is required to maintain documentation related to its PHAS score for a period of three years.

## SUB-INDICATOR #1: VACANCY RATE AND UNIT TURNAROUND TIME

This sub-indicator examines a PHA's, actual vacancy rate, adjusted vacancy rate and progress in reducing vacancies during the last three years, and measures the annual average amount of time it takes a PHA to turn around its vacant units.

**Data Sources:** PHAs must maintain accurate information on the total number of units available for occupancy. This information can be found through a review and comparison of:

- Annual Contribution Contract (ACC) and the most recent amendment;
- Turnaround time records;
- Rent register;
- Form HUD-51234, Report on Occupancy;
- Form HUD-52723, Calculation of Performance Funding System Operating Subsidy;
- Form HUD-52295, Report of Tenant Accounts Receivable;
- Form HUD-52728, PHA Calculation of Occupancy Percentage for a Requested Budget Year;
- Form HUD-52344, Notice of End of Initial Operating Period: and
- Modernization and Maintenance Plans for Unit Turnaround (information must include; unit make ready time unit down time and unit lease up time)

**Remember:** Keep a narrative explanation and the math calculations by units and by days in the file for PHAS documentation.

### Component #1, Vacancy Rate

The beginning inventory will need to be adjusted to recognize increases or decreases to its available days inventory during the assessment year. Increases may result from newly developed units reaching the End of Initial Operating Period during the assessment year. Decreases may result from such actions as HUD approving the demolition of a dwelling unit(s) or approving the use of a dwelling unit to be used to promote economic self-sufficiency and anti-drug activities. The PHA will calculate the number of days in the assessment year associated with these increases and decreases and adjust the beginning inventory accordingly.

#### Component #1: Vacancy Rate

V10000	Total number of ACC days	
V10100	Total number of non-dwelling days	
V10200	Total number of employee occupied days	
V10300	Total number of days where units were deprogrammed	
V10400	Total number of actual vacancy days	
V10500	Total number of vacancy days exempted for Capital Fund	
V10600	Total number of vacancy days exempted for market conditions	
V10700	Total number of vacancy days where units were exempted due to law or regulations	
V10800	Total number of vacancy days where units were exempted for other reasons	

V10900	Percentage points reduction of actual vacancies within past three years	
V11000	Total available days	[READ ONLY]
V11100	Actual vacancy rate	[READ ONLY] %
V11200	Adjusted vacancy days	[READ ONLY]
V11300	Adjusted vacancy rate	[READ ONLY] %

**Element V10000. Total number of ACC days.** The PHA's total number of units times the number of days in a year (365 or 366 in leap year). Include *ALL* units.

**Element V10100. Total number of non-dwelling days.** This represents the number of days that units are being used for a purpose OTHER THAN LIVING SPACE. Only units that have received written HUD approval for non-dwelling use may be included in this calculation. Both the PHA and the PIH Hub/Program Center would have a record of the correspondence in this matter. For instance, a unit is being used for day care; as a police substation; as a beauty shop. Determine how many units are being used in this manner, and then determine how many days during the immediate past fiscal year each unit was used for that purpose.

**Element V10200. Total number of employee occupied days.** This represents the number of days employees are living in a PHA unit as part of the terms of their employment. Determine how many units are being used in this manner, and then determine how many days during the immediate past fiscal year each unit was used for that purpose. Enter the total number of employee occupied days in this field. However, units that are occupied by RESIDENTS WHO MEET THE ELIGIBILITY CRITERIA BUT WHOM THE PHA ALSO EMPLOYS should not be counted in the computation for this field. Keep the list showing the units and days used for this calculation in the PHAS file.

**Element V10300. Total number of deprogrammed days.** This represents the number of days units are formally taken out of service as a result of demolition or conversion and is vacant. A PHA has to make a request to HUD and get it approved in order to deprogram any unit. Both the PHA and the PIH HUB/Program Center would have a record of the correspondence on this matter. Determine how many units are being used in this manner, and then determine how many days during the immediate past fiscal year each unit was used for that purpose. The total number of days in this category goes in the field for V10300.

**Element V10400. Total number of actual vacancy days.** Using the rent roll or other supporting record, count the total number of vacancy days in the immediate past fiscal year for any unit that could be occupied by a tenant. Keep the list showing which units were vacant for how many days in the file with the PHAS documentation.

**Element V10500. Total number of vacancy days exempted for Capital Funds :**  
Analyze the vacancy days to identify how many days (by unit number) a unit was vacant because the unit was undergoing modernization. In order for days to qualify for this exemption, the following must be true:

- The PHA must have received modernization funding; and

- The unit must be under construction, i.e., the construction contract has been awarded or force account work has started, OR the unit has been included in HUD-approved modernization budget, and the time period for placing the vacant unit under construction has not yet expired.

**Remember:** The Modernization Implementation Schedule or the HUD approved modernization budget should be used to track the time. Whichever document used must list each unit undergoing modernization by address or unit number. A copy of these records or of the list showing the units by address or number with the exact number of days each was out of service because of mod work must be kept in the PHAS documentation file at the PHA.

**Remember:** Exempted time begins when the unit is included in the budget of an approved ongoing modernization program and ends when the construction work has been completed and the contractor has turned the unit back to the PHA. Vacancy days that occur *PRIOR* to a unit qualifying as a unit undergoing modernization and vacancy days that occur *AFTER* the unit has been turned over to the PHA from the contractor **CANNOT BE EXEMPTED**. Total the number of eligible mod/vacancy days and put that figure in field 10500.

**Element V10600. Vacancy days exempted for market conditions.** Analyze the vacancy days to determine how many are attributable to market conditions. In doing the calculations, the first thing to do is to write a narrative description of the marketing problems the PHA is experiencing in its community. Be specific, is it related to declining population, no waiting list, competitive housing stock (either Farmer's Home or cheap rental stock), or particular problems matching a certain size bedroom with a segment of the available population (no one on the one bedroom waiting list and that's where the vacancies are, or the fact that no one wants zero-bedroom/efficiency units).

After defining the marketing problem, outline the efforts that have been undertaken to correct the problems (ads in the paper and other places, contacting the churches and other social service organization, etc.). Document these outreach efforts. The last step is to calculate the actual number of vacancy days attributable to the marketing conditions.

Enter the total number in the field for element V10600. Keep the narrative explanation and the math calculations by unit and by days in the file for PHAS documentation.

**Remember:** Exempted time begins when the unit is included in the budget. You must document the method used to calculate the figure used for this line.

**Element V10700. Vacancy days exempted due to law or regulations.** Examples of vacancies caused by law include: units required to be vacant because of litigation (i.e., a court ordered settlement); laws that require that abandoned property be left in a unit for a specific period of time; and units left vacant because of investigations by the fire or police department or

due to coroner's or court order. Analyze the list developed for completing Element 10400. Identify any units that meet the criteria given above. Calculate the vacancy days that are attributable to law or regulation for those identified units. Enter that total number in the space for Element 10700.

**Element V10800. Total number of vacancy days where units were exempted for other reasons.** "Other reasons" mean reasons that are beyond the PHA's control. They would include: natural disasters which have been identified by proclamation; insufficient funding for otherwise approved applications made for CIAP funds for PHAs with fewer than 250 units; or casualty losses up to the time of claim settlement. Again, look over the list of units developed for completing Element 10400. From that list, document the units, which are eligible for this exemption, and identify the number of vacancy days for each identified unit that are covered by this exemption. Enter the total number in the space for Element 10800.

**Element V10900. Percentage point reduction of actual vacancies within previous three years .**

**✓ Optional:** The reduced actual vacancy rate within the previous three years is a comparison of the vacancy rate in the fiscal year being assessed with the vacancy rate of that fiscal year which is two years previous to the assessment year. It is calculated by subtracting the vacancy rate in the assessment year from the vacancy rate in the earlier year.

Reduced Vacancies Within the Previous Three Years	
Fiscal Year	Actual Vacancy %
Fiscal Year being assessed	26%
– <u>Fiscal year 2 years previous to the assessment year</u>	–11%
Reduction	15%

**Element V11000. Total available days.** Read only. System generated.

Calculations by system:

[V11000]Total available days = [V10000] Total number of ACC days - ([V104000] Total of non-dwelling days + [V10200] Total number of employee occupied days + [V10300] Total number of days where units were deprogrammed)

**Element V11100. Actual vacancy rate.** Read only. System generated.

Calculations by system:

[V11100]Actual Vacancy rate = [V10400] Total number of actual vacancy days / [V11000] Total available days

**Element V 11200. Adjusted vacancy days.** Read only. System generated.

Calculations by system:

[V11200]Adjusted Vacancy days = [V10400] Total number of actual vacancy days – ([V10500] Total number of vacancy days exempted for Capital Funds (modernization))

**Element V11300. Adjusted vacancy rate.** Read only. System generated.

Calculations by system:

$[V11300]\text{Adjusted Vacancy rate} = [V11200] \text{ adjusted vacancy days} - ([V11000] \text{ Total available days})$
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## Component #2, Unit Turnaround Time

### **ALL PHAS ARE REQUIRED TO COMPLETE THIS COMPONENT**

**REGARDLESS OF THE SCORE RECEIVED FOR COMPONENT #1.** A PHA is not scored on this component if it receives a score equivalent to a Grade “C” or better on Component #1. The system will calculate the score for component #1 and determine whether component #2 should be scored.

Component #2 measures the average number of calendar days between the latter of:

- The legal expiration date of the immediate past lease; or
- The actual move-out date of the former tenant (or the date the PHA becomes aware that the tenant has moved out); and
- The date the new lease takes effect.

#### Component #2: Unit Turnaround

V12400	Total number of turnaround days	
V12500	Total number of vacancy days exempted for Capital Funds	
V12600	Total number of vacancy days exempted for other reasons	
V12700	Total number of vacant units turned around and leased in the PHA's immediate past fiscal year	
V12800	Average number of calendar days units were in down time	
V12900	Average number of calendar days units were in make ready time	
V13000	Average number of calendar days units were in lease up time	
V13100	Average Unit Turnaround Days	[READ ONLY]

**Element V12400. Total number of turnaround days.** Use the rent roll and the list of units by addresses that was compiled for V10400, total number of actual vacancy days. Count every day from the day the lease expired (or that you found the unit vacant) to the effective date of the new lease. **DO THIS EVEN IF THE FIRST DAY BEGINS IN THE PREVIOUS FISCAL YEAR.** If one unit was turned several times, count all the days for each time it turned. Add up the days for these turned units. Enter this total on the space for Element V12400.

**Element V12500. Days exempted for Capital Funding.** Enter the number of days units were undergoing modernization. This number is taken from the turnaround days entered in V12400. Do not copy numbers entered for Element V10500. To be eligible for this exemption, the units would have had to be under construction for a portion of the time. The work would have to be included in a HUD-approved modernization budget by unit number

AND the required time period for placing the unit under construction could not have expired. For each of the applicable units, the exempted time begins when the unit is included in the budget of an approved on-schedule modernization program and ends when the construction work has been completed and the contractor (or force account workers) has turned the unit back to the PHA.

List the “turnaround” units that are eligible and document the number of days for each of those units that meet the definition of exempted modernization time from the definition above. Total the exempt modernization days, and enter that number in the space for Element V12500. Keep the documentation of the calculation in the PHAS file.

**Element V12600. Total number of vacancy days exempt for other reasons.** This means “turnaround days” from Element V12400 of units that were empty for part of that time due to circumstances beyond the PHA’s control. These reasons include litigation, laws or regulation, changing market conditions, natural disaster, insufficient CIAP funding, or casualty losses. Identify the specific turnaround units, which would be eligible for claiming this exemption by address. For each unit, cite the type of reason for the exemption, calculate the appropriate allowable number of exempt “turnaround days”, and add up all the exempt days. Enter the total days claimed under this exemption on the field for Element V12600.

**Element V12700. Total number of vacant units turned around and leased in the PHA’s immediate past fiscal year.** Please refer to turnaround time records and other **Data Sources** for information requirements for this element.

**Element V12800. Average number of calendar days units were in down time.** “Down time” means, for each unit “turned” in the immediate past fiscal year, the days from the date the unit was discovered it was vacant or the date the lease expired until the date the keys are handed to maintenance to start cleaning or fixing up. Count every day, even if the starting date was in the previous fiscal year.

Total the “down time” for all the turned units, and divide by total number of units entered in the field for element V12700. Enter that figure in the field for Element 12800.

**Element V12900. Average number of calendar days units were in make ready time .** “Make ready time” means, for each unit “turned” in the immediate past fiscal year, the days from the date maintenance receives the keys to the date maintenance turns the unit back to management for rental. Total the “make ready time” for all the turned units, and divide by the total number of units entered in the field for element V12700. Enter that figure in the field for Element 12900.

**Element V13000. Average number of calendar days units were in lease up time.** “Lease up time” means, for each “turned” unit in the immediate past fiscal year, the days from the date maintenance gives the keys back to management for rental to the effective date of the



lease. Total the “lease up time” for all the turned units, and divide by the total number of units entered in the field for element V12700. Enter that figure in the field for Element V13000.

**Element V13100. Average Unit Turnaround days** Read only. System generated.

**Calculations by system:**

$[V13100] \text{Average Unit Turnaround days} = ([V12400] \text{ Total number of turnaround days} - ([V12500] \text{Total number of vacancy days exempted for Capital Funds (modernization)} + [V12600] \text{ Total number of vacancy days exempted for other reasons}) / [V12700] \text{ Total number of vacant units turned around and leased in the PHA's immediate past fiscal year}$
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## SUB-INDICATOR #2: CAPITAL FUND

This sub-indicator assesses performance under the PHA's modernization (now Capital Fund) programs. This sub-indicator consist of five components that apply to the following programs:

- Comprehensive Grant Program (CGP)
- Comprehensive Improvements Assistance Program (CIAP)
- Lead-based Paint Risk Assessment (LBPRA) funding granted in Federal fiscal years (FFYs) 1992-1995

Only Components #3, #4 and #5 apply to:

- HOPE VI
- Vacancy Reduction Programs (VRP)

Unlike the Public Housing Management Assessment Program (PHMAP) when HUD completed the certification of this indicator, under the Public Housing Assessment System (PHAS) the PHA is required to collect and maintain documentation essential for the measurement and the submission of the data for this sub-indicator.

👉 **Remember:** The information requirements for this sub-indicator are subject to an independent audit.

**Data Sources:** PHAs must maintain accurate information on what programs and/or grants the PHA is believed to have in open (not closed-out, meaning that the post audit end date has not been issued within the assessed year) during the review period. If all the PHA's programs pre-date the FFY in review have been closed-out, the PHA should use Actual Cost Certificates, as well as evidence that the years in question have been audited.

Before completing this sub-indicator, the PHA should first determine all of the capital improvement programs that apply to the PHA. In the case where a PHA has multiple programs, each program should be listed separately and identified by program number. In addition, take the following steps:

- Confirm every non-completed program by reviewing all of the Modernization Cost Certificates (form HUD-53001, CIAP and/or form HUD-52839, CGP) and any supporting documentation that was sent to the local HUD office. Determine whether the local office has entered the required documentation into LOCCS to close the program. To verify if a program and/or grant is closed out, the PHA must insure the local HUD office has entered the post audit end date into LOCCS.

*For Components #1 and #2, the data sources of information needed includes:*

- Form HUD-52837, CGP Annual Statement/Performance and Evaluation Report, Parts I, II, III, and any revisions
- Form HUD-52825, CIAP Budget, Parts I, II, and III
- Form HUD-53001, CIAP and CGP Actual Modernization Cost Certificate (AMCC)
- Letters to HUD requesting obligation or expenditure extensions
- Letters to HUD supporting claims outside PHA's control
- Correspondence from HUD on the subjects of obligation and expenditure
- PHA Obligation and Expenditure Reports
- Final Lead-Based Paint Risk Assessment schedule and plan, if applicable
- PHA Documentation

*For Components #3 and #4 the data sources of information needed includes:*

- On-site inspection report(s) for the PHAs fiscal year in review or the latest on-site inspection report available. If there are findings, review finding and determine if corrections were made or in the process of being completed
- Other reports such as Inspector General Report or the Independent audit
- Violations of Lead-Based Paint Risk Assessment, Hope VI, or VRP programs as documented by HUD
- PHA Documentation

*For Components #5 the data sources of information needed includes:*

- CIAP Schedule/Report(s) of Modernization Expenditures or CGP Performance Evaluation reports, program budgets (Annual Statement), any budget revisions and the five-year Plan (if CGP agency) for budget work items
- PHA Documentation

## **Component #1, Unexpended Funds Over Three Federal Fiscal (FFYs) Old**

This component measures unexpended funds over three FFYs old, and not PHA fiscal years (FYs); the FFY runs from October 1 to September 30. This applies to grants and/or programs awarded to the PHA that are over three FFYs old and funding that has not been expended.

This component applies to the following programs:

- **CIAP**
- **CGP**
- **LBPR**

**Remember:** Where a PHA administers multiple Capital Fund programs, each program shall be evaluated under this component. A POINT EQUIVALENT OF A GRADE OF “F” FOR ANY ONE PROGRAM WILL RESULT IN A POINT EQUIVALENT OF A GRADE OF “F” FOR THIS COMPONENT.

**Component #1: Unexpended Funds Over Three Federal Fiscal Years (FFYs) Old**

CF10000	Do you have any open Capital Fund (Components #1 and #2 – CIAP, Comp Grant, LBPR; Component #3, #4 and #5 – Vacancy Reduction and Hope VI) programs? <b>Open</b> (any program that does not have a pre-audit end date or that received a pre-audit end date during the fiscal year being assessed)	Yes No
CF10050	Total funds authorized within 3 FFYs	\$
CF10100	Total funds expended within 3 FFYs	\$
CF10200	Unexpended funds to be recaptured	\$
CF10300	Unexpended funds approved by HUD beyond 3 FFYs	\$
CF10400	Unexpended funds with time extensions due to reasons outside of PHA's control	\$
CF10500	Adjusted total unexpended funds	\$ [READ ONLY]

**Element CF10000.** Do you have any open Capital Fund (Components #1 and #2 – CIAP, CGP, LBPR; Component #3, #4 and #5 – VRP and HOPE VI) programs open? (**Any program that does not have a pre-audit end date or that received a pre-audit end date during the fiscal year being assessed.**) Answer yes or no.

➡ IF YOUR ANSWER IS NO, ➡ CONTINUE TO SUB-INDICATOR #3

**Element CF10050. Total funds authorized within three FFYs.** This applies to all grants and/or programs awarded to the PHA that are over three FFYs old that do not have a pre-audit end date. Please refer to form HUD-52837, CGP Annual Statement/Performance and Evaluation Report, Parts I and II, form HUD-52825, CIAP Budget/Progress Report, Parts I and II, and other **Data Sources** for information for this element. (For calculating this component, DO NOT include funds awarded the fiscal year being assessed.)

👉 **Remember:** Where a PHA administers multiple Capital Fund programs, each program shall be evaluated under this component. The PHA will enter into this element the cumulative amount of authorized funding from each program.

**Element CF10100. Total funds expended within three FFYs.** This applies to all funds expended from grants and/or programs that are over three FFYs old that does not have a pre-audit end date. Please refer to PHA expenditure report and other **Data Sources** for information for this element. (For calculating this component, DO NOT include funds awarded the fiscal year being assessed.)

👉 **Remember:** Where a PHA administers multiple Capital Fund programs, each program shall be evaluated under this component. The PHA will enter into this element the cumulative amount of authorized funding from each program.

**Element CF10200. Unexpended funds to be recaptured.** Unexpended funds are leftover funds that will be recaptured after audit. Please refer to form HUD-53001, Actual Modernization Cost Certificate, line 1(d), Amount to be recaptured. In addition, please refer to PHA expenditure report and other **Data Sources** for information for this element.

👉 **Remember:** Where a PHA administers multiple Capital Fund programs, each program shall be evaluated under this component. The PHA will enter into this element the cumulative amount of authorized funding from each program.

**Element CF10300. Unexpended funds approved by HUD beyond three FFYs.** Please refer to the HUD-approved original implementation schedule that allows for longer than three FFYs to expend all funds, form HUD-52825, CIAP Budget/Process report, Part III, or form HUD-52837, Annual Statement/Performance and Evaluation Report, Part III and other **Data Sources** for other information for this element.

👉 **Remember:** Where a PHA administers multiple Capital Fund programs, each program shall be evaluated under this component. The PHA will enter into this element the cumulative amount of authorized funding from each program.

**Element CF10400. Unexpended funds with time extensions due to reasons outside of PHA's control.** Please refer to the HUD-approved original implementation schedule that allows for longer than three FFYs to expend all funds, form HUD-52825, CIAP Budget/Process report, Part III, or form HUD-52837, Annual Statement/Performance and Evaluation Report, Part III and documentation demonstrating reasons outside the PHA's control and other **Data Sources** for other information for this element.

👉 **Remember:** Where a PHA administers multiple Capital Fund programs, each program shall be evaluated under this component. The PHA will enter into this element the cumulative amount of authorized funding from each program.

**Element CF10500. Adjusted total unexpended funds.** Read Only. System generated.

Calculations by system:

$[CF10500] \text{Adjusted total unexpended funds} = [CF10050] \text{Total funds authorized within 3 FFYs} - ([CF10100] \text{Total funds expended within 3 FFYs} + [CF10200] \text{Unexpended funds to be recaptured} + [CF10300] \text{Unexpended funds approved by HUD beyond 3 FFYs} + [CF10400] \text{Unexpended funds with time extension due to reasons outside of PHA's control})$
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## Component #2, Timeliness of Funds Obligated

This component is similar, in several aspects, to component #1 in that fund obligation is measured by FFYs and not by PHA fiscal years (FYs).

This component applies to the following programs:

➤ CIAP      ➤ CGP      ➤ LBPR

👉 **Remember:** Where a PHA administers multiple Capital Fund programs, each program shall be evaluated under this component. The PHA will enter into this element the cumulative amount of authorized funding from each program.

**Component #2: Timeliness of Fund Obligation**

CF11100	Total funds authorized for grants older than 2 FFYs	\$
CF11200	Total funds obligated within 2 FFYs	\$
CF11300	Unobligated funds approved by HUD beyond 2 FFYs	\$
CF11400	Unobligated funds with time extensions due to reasons outside of PHA's control	\$
CF11500	Adjusted total unobligated funds	\$ [READ ONLY]

**Element CF11100. Total Funds authorized for grants older than 2FFYs.** This applies to all grants and/or programs funds awarded to the PHA that are over two FFYs old and have no pre-audit end date. Please refer to form HUD-52837, CGP Annual Statement/Performance and Evaluation Report, Parts I and II, form HUD-52825, CIAP Budget/Progress Report, Parts I and II, and other **Data Sources** for information for this element.

**Remember:** Where a PHA administers multiple Capital Fund programs, each program shall be evaluated under this component. The PHA will enter into this element the cumulative amount of authorized funding from each program.

**Element CF11200. Total funds obligated within two FFYs.** This applies to all grants and/or programs funds obligated by the PHA that are over two FFYs old with no pre-audit end date. Please refer to PHA obligation reports and other **Data Sources** for information requirements for this element. (For calculating this component, DO NOT include funds awarded the fiscal year being assessed.)

**Remember:** Where a PHA administers multiple Capital Fund programs, each program shall be evaluated under this component. The PHA will enter into this element the cumulative amount of authorized funding from each program.

**Element CF11300. Unobligated funds approved by HUD beyond two FFYs.** Please refer to the HUD-approved original implementation schedule that allows for longer than two FFYs to expend all funds, form HUD-52825, CIAP Budget/Process Report, Part III, or form HUD-52837, Annual Statement/Performance and Evaluation Report, Part III and other **Data Sources** for information for this element.

**Remember:** Where a PHA administers multiple Capital Fund programs, each program shall be evaluated under this component. The PHA will enter into this element the cumulative amount of authorized funding from each program.

**Element CF11400. Unobligated funds with time extensions due to reasons outside of PHA's control.** Please refer to the HUD-approved original implementation schedule, form HUD-52825, CIAP Budget/Process Report, Part III, or form HUD-52837, Annual Statement/Performance and Evaluation Report, Part III, documentation demonstrating reasons outside the PHA's control and other **Data Sources** for other information for this element.

👉 **Remember:** Where a PHA administers multiple Capital Fund programs, each program shall be evaluated under this component. The PHA will enter into this element the cumulative amount of authorized funding from each program.

**Element CF11500. Adjusted total unobligated funds.** Read Only. System generated.

Calculations by system:

[CF11500]Adjusted total unobligated funds = [CF11100] Total funds authorized for grants older than 2FFYs – ([CF11200] Total funds unobligated within 2 FFYs + [CF11300] Unobligated funds approved by HUD beyond 2FFYs + [CF11400] Unobligated funds with time extensions due to reasons outside of PHA's control)

### Component #3, Adequacy of Contract Administration

This component measures the PHA's ability to adequately manage contract administration for funded program(s). It also measures progress in correcting findings in contract administration, based on findings from the latest on-site review and/or audit, where a written report was provided to the PHA at least 75 days prior to the PHA's fiscal year end. "Finding" means a violation of the statute, regulation, ACC, or other HUD requirements in the areas of contract administration. Contract administration refers to all aspects of Capital Fund programs that have program requirements and has construction contracting.

This component applies to the following programs:

➤ **CIAP**      ➤ **CGP**      ➤ **LBPRA**      ➤ **VRP**      ➤ **HOPE VI**

This component measures performance based on the PHA's FYE, rather than on the FFY that was used in components #1 and #2.

#### Component #3: Adequacy of Contract Administration

CF11700	The date of the last HUD/Army Corps of Engineers on-site inspection and/or audit related to contract administration (include A-133 Audit)	/ /
CF11800	The number of findings related to contract administration.	
CF11900	The number of findings related to contract administration that have been corrected by the PHA	
CF12000	The number of findings related to contract administration that the PHA is in the process of correcting	

**Element CF11700. The date of the last HUD/Army Corps of Engineers on-site inspection and/or audit related to contract administration.** Please refer to on-site inspection reports, audit reports and other **Data Sources** for information requirements for this element.

#### **Element CF11800. The number of findings related to contract administration.**

The number of findings relate to the number of findings documented by HUD/Army Corps of Engineers at the VERY LAST on-site inspection and/or audit related to contract administration that was provided to the PHA by HUD 75 days prior to the assessed fiscal year end. Please

refer to on-site inspection reports, audit reports and other **Data Sources** for information requirements for this element.

👉 **Remember:** A finding for the purpose of this component, refers to a violation of a statute, regulation, ACC, corrective action order or other HUD requirements relating to the adequacy of contract administration. This does not include observations, recommendations or suggestion for improvement that are contained in a written report.

**Element CF11900. The number of findings related to contract administration that have been corrected by the PHA.** The number of findings corrected that relate to element CF118000. Please refer to PHA documentation and other **Data Sources** for information requirements for this element.

**Element CF12000. The number of findings related to contract administration that the PHA is in the process of correcting.** The number of findings the PHA is in the process of correcting where corrective actions exceed the fiscal year being assessed. Please refer to PHA documentation and other **Data Sources** for information requirements for this element.

## **Component #4, Quality of the Physical Work**

This component evaluates the quality of physical work for funded program(s). This component applies to the following programs:

➤ **CIAP**      ➤ **CGP**      ➤ **LBPRA**      ➤ **VRP**      ➤ **HOPE VI**

This component measures performance based on the PHA's FYE, rather than on the FFY that was used in components #1 and #2.

### **Component #4: Quality of the Physical Work**

CF12200	The date of the last HUD/Army Corps of Engineers on-site inspection and/or audit related to the quality of physical work	/ /
CF12300	The number of findings related to the quality of physical work	
CF12400	The number of findings related to the quality of physical work that have been corrected by the PHA	
CF12500	The number of finding related to the quality of physical work that the PHA is in the process of correcting	

**Element CF12200. The date of the last HUD/Army Corps of Engineers on-site inspection and/or audit related to the quality of physical work.** Please refer to on-site inspection reports, audit reports and other **Data Sources** for information requirements for this element.

**Element CF12300. The number of findings related to the quality of physical work.** The number of findings relate to the number of findings documented by HUD/Army Corps of



Engineers at the VERY LAST on-site inspection and/or audit related to quality of physical work that was provided to the PHA by HUD 75 days prior to the assessed fiscal year end. Please refer to on-site inspection reports, audit reports and other **Data Sources** for information requirements for this element.

👉 **Remember:** A finding for the purpose of this component, refers to a violation of a statute, regulation, ACC, corrective action order or other HUD requirements relating to the adequacy of contract administration. This does not include observations, recommendations or suggestion for improvement that are contained in a written report.

**Element CF12400. The number of findings related to the quality of physical work that has been corrected by the PHA.** The number of findings corrected that relate to element CF123000. Please refer to PHA documentation and other **Data Sources** for information requirements for this element.

**Element CF12500. The number of findings related to the quality of physical work that the PHA is in the process of correcting.** The number of findings the PHA is in the process of correcting where corrective actions exceed the fiscal year being assessed. Please refer to PHA documentation and other **Data Sources** for information requirements for this element.

## Component #5, Adequacy of Budget Controls

This component evaluates the adequacy of a PHA's budget controls for funded programs. This component applies to the following programs:

➤ **CIAP**    ➤ **CGP**    ➤ **LBPRA**    ➤ **VRP**    ➤ **HOPE VI**

This component measures performance based on the PHA's FYE, rather than on the FFY that was used in components #1 and #2.

### Component #5: Adequacy of Budget Controls

CF12700	Total amount of Capital Funds expended during the PHA fiscal year being assessed	\$
CF12800	Amount of Capital Funds expended on approved work items not subject to budget revisions during the PHA fiscal year being assessed to budget revisions	\$
CF12900	Amount of Capital Funds expended under budget revisions with prior HUD approval during the PHA fiscal year being assessed	\$
CF13000	Amount of Capital Funds expended under budget revisions not requiring prior HUD approval during the PHA fiscal year being assessed	\$

**Element CF12700. Total amount of Capital Funds expended during the PHA fiscal year being assessed.** PHAs must provide a cumulative amount of all Capital Funds expended during the fiscal year being assessed. Please refer to PHA expenditure report and other **Data Sources** for information for this element.

**Element CF12800. Amount of Capital Funds expended on approved work items not subject to budget revisions during the PHA fiscal year being assessed to budget revisions.** Please refer to the HUD-approved budget, form HUD-52825, CIAP Budget/Process report, Parts I and II, or form HUD-52837, Annual Statement/Performance and Evaluation Report, Parts I and II, and other **Data Sources** for other information for this element.

**Element CF12900. Amount of Capital Funds expended under budget revisions with prior HUD approval during the PHA fiscal year being assessed.** Please refer to the HUD-approved budget, form HUD-52825, CIAP Budget/Process Report, Parts I and II, or form HUD-52837, Annual Statement/Performance and Evaluation Report, Parts I and II, a five year action plan and other **Data Sources** for other information for this element.

**Element CF13000. Amount of Capital Funds expended under budget revisions not requiring prior HUD approval during the PHA fiscal year being assessed.** Please refer to the HUD-approved budget, form HUD-52825, CIAP Budget/Process Report, Parts I and II, or form HUD-52837, Annual Statement/Performance and Evaluation Report, Parts I and II, a five year action plan and other **Data Sources** for other information for this element.

### SUB-INDICATOR #3: RENTS UNCOLLECTED

This sub-indicator examines the PHA's ability to collect dwelling rent owed by residents in possession during the immediate past fiscal year by measuring the balance of dwelling rents uncollected. Any charge other than rent is **excluded** from the calculation (i.e., maintenance charges, legal fees, utility charges, or late fees. Retroactive rent charges are also excluded. Negative rents are treated as "zero."

#### **Data Sources:**

- Monthly Rent Rolls for the fiscal year being assessed: the amounts shown will not include amounts owed by tenants in possession at the beginning of the assessed fiscal year. Uncollected dwelling rents is a portion of that amount not collected during the assessed fiscal year, even if those rents were due from residents who have since vacated during the year, including those that were subsequently written off as a collection loss.
- Form HUD-52295, Tenant Accounts Receivable (TAR), blocks C2 and C8, at the end of the fiscal year if **all** of those tenants are still in possession at the beginning of the assessed fiscal year.

👉 **Remember:** Keep a narrative explanation and the math calculations by units and by days in the file for PHAS documentation.

👉 **Remember:** The recurring monthly dwelling rent charges to tenants in possession during the assessed fiscal year is neither the amount that would be reported in form HUD-52295, block B3, nor the amount recorded in the General Ledger, Account 3110, Dwelling Rent, for the fiscal year, since these amounts include in utility reimbursement credits.

👉 **Remember:** The information requirements for this element are subject to an independent audit.

#### Sub-Indicator #3: Rents Uncollected

R10000	Dwelling rent owed by residents in possession at the beginning of the assessed fiscal year, carried forward from the previous fiscal year	\$
R10100	Dwelling rents billed during the fiscal year being assessed	\$
R10200	Dwelling rents collected during the fiscal year being assessed	\$
R10300	Rents uncollected	\$ [READ ONLY]
R10400	Percentage of rents uncollected	[READ ONLY] %

**Element R10000. Dwelling rent owed by residents in possession at beginning of the assessed fiscal year, carried forward from the previous fiscal year.** Use the rent roll and form HUD-52295, TAR, if **all** of those tenants are still in possession at the beginning of the assessed fiscal year. Be sure you are picking up ONLY THE DWELLING RENT AS DEFINED ABOVE. Be sure the figure for rent owed is picked up only for people who are still residents at the start of the new year. If everybody pays their rent, there will be nothing to enter

in this field. If residents pay their rent in advance, it is NOT counted in this field. It is counted for the month in which it is due. In calculating this figure, you may also want to confer with your accountant or whoever does your books.

**Element R10100. Dwelling rents billed during the Fiscal Year being assessed.**

Using the rent roll for the immediate past fiscal year, calculate the dwelling rent that you should have been paid if everyone had paid his or her rent.

**Element R10200. Dwelling rents collected during the Fiscal Year being assessed.**

Using the rent roll for the immediate past fiscal year, calculate the dwelling rent that you actually collected.

**Element 10300. Rents Uncollected.** Read only. System generated.

**Calculations by system:**

[R10300] Rents Uncollected = ([R10000] Dwelling rent by resident in possession at the assessed fiscal year, carried forward from the previous fiscal year + [R10100] Dwelling rents billed during the fiscal year being assessed) - [R10200] Dwelling rents collected during the fiscal year being assessed

**Element 10400. Percentage of rents uncollected.** Read only. System generated.

**Calculations by system:**

[R10400] Percentage of rents uncollected = [R10300] Rents Uncollected / [R10100] Dwelling rents billed during the fiscal year being assessed

## SUB-INDICATOR #4: WORK ORDERS

This sub-indicator examines the adequacy of a PHA's performance with regard to completing maintenance work items as measured by its work order system. The sub-indicator evaluates how the PHA controls its active work orders as well as the timeliness of completion. Any work order active within the assessed year is included regardless of when it was received or completed. However, only the calendar days within the current assessed year are included in the calculation.

### **Data Sources:**

- Work Order Log is required which reports the time and date each work order is received and completed, the status of all work requests and includes emergency and non-emergency classification
- Work Orders: received in the prior assessed year and completed in the current assessed year; received and completed within the current assessed year and received and not completed before the end of the current assessed year

👉 **Remember:** Keep a narrative explanation and the math calculations by units by days in the file for PHAS documentation.

### **Component #1, Emergency Work Orders**

Emergency work orders are those that address an immediate threat to life, health and/or safety to property or to the resident. Examples include, but are not limited to, an unhealthy or undrinkable water supply, gas leak, broken/blocked sanitary sewer line, failed heating system, hazardous electrical system, uninhabitable unit as a result of a fire, and situations causing an exposure to asbestos, lead-based paint, or other toxic materials.

This component measures the performance of a PHA in abating or completing within 24 hours emergency work orders.

👉 **Remember:** ABATEMENT OF THE EMERGENCY CONDITION means, that although the work was not completed, the threat to life, health or safety has been removed. Abating the situation allows you to change the status of the work order to “non-emergency”, giving more time to actually correct the problem. Abatement may include moving the family to another unit until the situation can be corrected.

#### ***Component #1: Emergency Work Orders***

W10000	Total number of emergency work orders	
W10100	Total number of emergency work orders completed/abated within 24 hours	
W10200	Percentage of emergency work orders completed/abated within 24 hours	[READ ONLY] %

**Element W10000. Total number of emergency work orders.** Please refer to the Work Order Log for information requirements for this element.

👉 **Remember:** Any emergency work orders active within the assessed year is included in this calculation, regardless of when it was received or completed.

**Element W10100. Total number of emergency work orders corrected/abated within 24 hours.** Please refer to the Work Order Log for information requirements for this element.

👉 **Remember:** Only those emergency work orders completed/abated within the assessed year are included in the calculation.

**Element W10200. Percentage of emergency work orders completed/abated within 24 hours.** Read only. System generated.

Calculations by system:

$[W102000] \text{ Percentage of emergency work ordered completed/abated within 24 hours} = [W10100] \text{ Total number of emergency work orders completed/abated within 24 hours} / [W10000] \text{ Total number of emergency work orders}$
--

## Component #2, Non-Emergency Work Orders

A non-emergency work order measures the average number of calendar days for a PHA to complete non-emergency work orders. Non-emergency work orders are issued to correct conditions that do not pose an immediate threat to life, health, safety or property, or are not related to fire safety.

This includes work orders generated in response to resident or staff reports of a repair need and preventive maintenance work orders. It also includes work orders resulting from annual inspections using Uniform Physical Condition Standards for Public Housing. HOWEVER, cyclical work orders (mopping the halls, grounds care tasks, cleaning gutters), work deferred for modernization and vacant unit preparation ARE NOT INCLUDED.

👉 **Remember:** There are several types of non-emergency work orders completed by a PHA. The types of non-emergency work orders that must be counted are response generated work orders and preventative maintenance work orders.

👉 **Remember:** In counting the total calendar days that it took to complete non-emergency work orders, consideration should be given to the fact that any part of the day, even 15 minutes, is counted as ONE DAY. A work order received in the morning of one day and not completed until the afternoon of the next day is counted as ONE DAY.

👉 **Remember:** For work order that is RECEIVED BUT NOT COMPLETED in the previous fiscal year, ONLY the days that the work order was active during the assessment year are counted. For a work order RECEIVED DURING THE ASSESSMENT YEAR, BUT

NOT COMPLETED until the following fiscal year, ONLY the days the work order was active during the assessment year are counted.

👉 **Remember:** A non-emergency work order active within the assessed year is included in this calculation, regardless of when it was received or completed.

**Component #2: Non-Emergency Work Orders**

W10500	Total number of non-emergency work orders	
W10600	Total number of calendar days it took to complete non-emergency work orders.	
W10700	Average number of days PHA has reduced the time it takes to complete non-emergency work orders over the past three years (enter average number of days)	
W10800	Average completion days	[READ ONLY]

**Element W10500. Total number of non-emergency work orders.** Please refer to the Work Order Log for information requirements for this element.

👉 **Remember:** Any non-emergency work orders active within the assessed year is included in this calculation, regardless of when it was received or completed.

**Element W10600. Total number of calendar days it took to complete non-emergency work orders.** Please refer to the Work Order Log for information requirements for this element.

👉 **Remember:** Any non-emergency work orders active within the assessed year is included in this calculation, regardless of when it was received or completed.

**Element W10700. Average number of days PHA has reduced the time it takes to complete non-emergency work orders over the past three years (enter average number of days).**

✓ **Optional:** This calculation is a comparison of the average time it took to complete non-emergency work orders in the fiscal year being assessed with the average time it took to complete non-emergency work orders of that fiscal year which is two years previous to the assessment year. It is calculated by subtracting the average time it took to complete non-emergency work orders in the fiscal year being assessed from the average time it took to complete non-emergency work orders in the earlier year.

Reduction in the Period of Time Required to Complete Non-Emergency Work Orders during the Preceding Three Years	
Fiscal Year	Days to Complete Work Orders
Fiscal year being assessed	59
–Fiscal year 2 years previous to the assessment year	–41
Reduction	18

**Element W10800. Average Completion days.** Read only. System generated.

**Calculations by system:**

<p>[W108000] Average completion days = [W10600] Total number of calendar days it took to complete non-emergency work orders / [W10500] Total number of non-emergency work orders</p>
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## SUB-INDICATOR #5: ANNUAL INSPECTIONS OF UNITS AND SYSTEMS

This sub-indicator examines units and systems inspected annually using the Uniform Physical Condition Standards (UPCS). The PHA is required to be able to document that they have analyzed the local code and compared it to the UPCS. This narrative comparison must specifically identify those sections of local code that are more stringent than UPCS. The inspection form used by the PHA must be annotated to include the standard from the local code in each case where it is more stringent. If there is no local code, it is recommended that the PHA get a letter from the local jurisdiction (County or City) stating that fact. Keep that letter or the narrative analysis in the PHA PHAS file as documentation.

**Remember:** One of the purposes of both unit inspections and systems inspections is to determine long-term modernization (capital) needs. Deficiencies can be included in the PHA's comprehensive modernization (capital) plan.

### **Data Sources:**

- PHA Annual Contributions Contract (ACC) and most recent amendments
- The PHA should have a tracking system to document when each inspection was completed, what was found during the inspection and whether the action taken included:
  - ❑ Completing repairs during the inspection
  - ❑ Issuing work orders; and
  - ❑ Referring deficiencies to the current or the following year's Capital Fund program (modernization)
- Preventive maintenance schedule

#### Component #1 Annual Inspections of Dwelling Units

- PHA will need an annual inspection schedule and log which lists every unit and reports:
  - ❑ The date the inspection was completed or
  - ❑ The date of two efforts to inspect and
  - ❑ The status of subsequent legal action to gain access to the unit
- Completed inspection forms for each unit inspected must be available in either resident files or unit files; forms should be accompanied by documentation of any deficiencies not repaired during the inspection that:
  - ❑ A work order was issued or
  - ❑ The work was referred to the current or following year's Capital Fund program (modernization)

#### Component # 2 Annual Inspection of Systems (Including Common Areas and Non-Dwelling Space)

- The PHA should have a maintenance plan which includes schedules and procedures for annual inspection of building and systems
- Preventive maintenance schedule

👉 **Remember:** Keep a narrative explanation and the math calculations by units and by days in the file for PHAS documentation.

## Component #1, Annual Inspection of Dwelling Units

While HUD does not prescribe a specific format for the inspection of dwelling units, PHAs are required to inspect all units that are occupied and not specifically exempted under this sub-indicator.

👉 **Remember:** ALL OCCUPIED SPACE SHOULD BE INSPECTED. This includes units used for non-dwelling purposes; those occupied by an employee and those used for resident services.

### Component #1: Annual Inspection of Dwelling Units

A10000	The total number of ACC units	
A10100	The sum of units exempted where the PHA made two documented attempts to inspect and is enforcing the lease	
A10200	Vacant units exempted for Capital Fund	
A10300	Vacant units exempted for other reasons	
A10400	Total number of units inspected using the Uniform Physical Condition Standards	
A10500	Total number of units inspected meeting the Uniform Physical Condition Standards	
A10600	The number of units where necessary repairs were completed to comply with Uniform Physical Conditions Standards either during the inspection, issued work orders for the repairs, or referred the deficiency to the current year's or next year's Capital Fund program	
A10700	Adjusted units available	[READ ONLY]
A10800	Percent of units inspected by PHA	[READ ONLY] %
A10900	Percent meeting Uniform Physical Condition Standards	[READ ONLY] %

**Element A10000. Total number of ACC Units.** Please refer to the ACC and other **Data Sources** for information for this element.

**Element A10100. The sum of units exempted where the PHA made two documented attempts to inspect and enforcing the lease.** Please refer to the inspection log and other **Data Sources** for information for this element.

**Element A10200. Vacant Units exempted for Capital Funds (modernization).** Please refer to the inspection log, completed inspection forms, tracking system and other **Data Sources** for information for this element.

**Element A10300. Vacant Units exempted for other reasons.** Please refer to inspection log and other **Data Sources** for information for this element.

**Element A10400. Total number of units inspected using the Uniform Physical Condition Standards.** Please refer to the inspection schedule and log and other **Data Sources** for information for this element.

**Element A10500. Total number of units inspected meeting the Uniform Physical Condition Standards.** Please refer to the inspection schedule and log and other **Data Sources** for information for this element. The total number of units entered for this element should represent the number of units that met the Uniform Physical Condition Standards at the time of the inspection; and/or where necessary repairs were completed to comply with the Uniform Physical Condition Standards during the inspection; and/or work orders were issued and completed in the fiscal year being assessed; and/or the deficiency was referred to this year's Capital Fund Program and repairs were completed in the fiscal year being assessed.

**Element A10600. Total number of units where necessary repair were completed to comply with Uniform Physical Condition Standards either during the inspection, issued work orders for the repairs, or referred the deficiency to the current year's or next year's Capital Fund program.** Please refer to the inspection log completed inspection forms, tracking systems and other **Data Sources** for information for this element.

**Element A10700. Adjusted units available.** Read only. System generated.

Calculations by system:

$[A10700]\text{Adjusted units available} = [A10000]\text{The total number of ACC units} - ([A10100]\text{The Sum of units exempted where the PHA made two documented attempts to inspect and is enforcing the lease} + [A10200]\text{Vacant units exempted for Capital Fund} + [A10300]\text{Vacant units exempted for other reasons})$
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**Element A10800. Percent of units inspected by PHA.** Read only. System generated.

Calculations by system:

$[A10800]\text{Percent of units inspected by PHA} = [A10400]\text{The number units inspected using Uniform Physical Condition Standards} / [A10700]\text{Adjusted units available}$
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**Element A10900. Percent meeting Uniform Physical Condition Standards.** Read only. System generated.

Calculations by system:

$[A10900]\text{Percent meeting Uniform Physical Condition Standards} = ([A10500]\text{Total number of units inspected meeting the Uniform Physical Condition Standards} + ([A10600]\text{The number of units where necessary repairs were completed to comply with Uniform Physical Condition Standards either during the inspection, issued work orders for the repairs, or referred the deficiency to the current year's or the following year's Capital Fund program} / [A10400]\text{Total number of units inspected using Uniform Physical Condition Standards.}$
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## **Component #2, Annual Inspection of Systems (Including Common Areas and Non-Dwelling Space)**

The purpose of this component is to ensure that, in addition to the annual inspection of individual dwelling units, PHAs are also annually inspecting and maintaining the major systems, (including common areas and non-dwelling space) that are essential to decent, safe and sanitary housing. This component examines the inspection of building and sites according to the PHA's maintenance plan, including performing the required maintenance on structures and systems in accordance with the manufacturer's specifications and established local/PHA standards, or issuing work orders for maintenance/repairs, or including identified deficiencies in this year's modernization program, or in the next year's modernization program if there are less than three months remaining before the end of the PHA FY when the inspection was performed.

In order to complete this component, the PHA should have available their written Maintenance Plan. It should detail the full range of maintenance requirements for all systems, PHA wide. Understandably, the plans will be more detailed in larger PHAs. Nonetheless, all PHAs should think of the maintenance plan as the basic guide to all required maintenance activities. Using the plan, the PHA should be able to know the full scope of all required maintenance activities.

**Remember:** Systems include but are not limited to:

- Structural building envelopes which include:
  - ☒ roofing,    ☒ walls,    ☒ siding,    ☒ windows,    ☒ hardware,
  - ☒ flashing and caulking;
- Mechanical systems which include:
  - ☒ heating,    ☒ ventilation, ☒ air conditioning,    ☒ plumbing,
  - ☒ sanitary system,    ☒ underground utilities (gas, electrical and water)
  - ☒ fuel storage tanks
- Electrical systems which include:
  - ☒ underground and above ground transmission equipment,
  - ☒ elevators,    ☒ emergency generators,    ☒ door bells,
  - ☒ electronic security devices, ☒ fire protection and smoke alarms,
  - ☒ outdoor and indoor lighting (halls, stairwells, public areas and exit signs)
  - ☒ transformers.
- Other items, if applicable:
  - ☒ roadways,    ☒ parking areas,    ☒ sidewalks,    ☒ site drainage,
  - ☒ playgrounds and tot lots, etc.

**Component #2: Annual Inspection of Systems (Including Common Areas and Non-Dwelling Space)**

A11100	Total number of contiguous sites (adjoining with no natural boundaries)	
A11200	Total number of contiguous sites (adjoining with no natural boundaries) exempted from the inspection of systems	
A11300	The total number of contiguous sites (adjoining with no natural boundaries) where all systems were inspected in accordance with the PHA maintenance plan	

A11400	Total number of buildings	
A11500	Total number of buildings exempted from the inspection of systems	
A11600	The total number of buildings where all systems were inspected in accordance with the PHA maintenance plan	
A11700	The number of buildings and sites where necessary repairs were completed to comply with the Uniform Physical Conditions Standards either during the inspection, issued work orders for the repairs, or referred the deficiency to the current year's or next year's Capital Fund program.	
A11800	Percentage of contiguous sites (adjoining with no natural boundaries) inspected	[READ ONLY] %
A11900	Percentage of buildings inspected	[READ ONLY] %

**Element A11100. Total number of contiguous sites (adjoining with no natural boundaries).** Please refer to the maintenance plan, tracking system and other **Data Sources** for information for this element.

**Element A11200. Total number of contiguous sites (adjoining with no natural boundaries) exempted from the inspection of systems.** Please refer to the maintenance plan, tracking system and other **Data Sources** for information for this element.

**Remember:** Sites can be exempted if all the units in all the buildings are uninhabitable, scheduled for demolition or disposition, or otherwise exempt.

**Element A11300. Total number of contiguous sites (adjoining with no natural boundaries) where all systems were inspected in accordance to the PHA maintenance plan.** Please refer to the maintenance plan, tracking system and other **Data Sources** for information for this element.

**Element A11400. Total number of buildings.** Please refer to the maintenance plan, tracking system and other **Data Sources** for information for this element.

**Element A11500. Total number of buildings exempted from the inspection of systems.** Please refer to the maintenance plan, tracking system and other **Data Sources** for information for this element.

**Element A11600. Total number of buildings where all systems were inspected in accordance with maintenance plan.** Please refer to the maintenance plan, tracking system and other **Data Sources** for information for this element.

**Element A11700. The number of buildings and sites where necessary repairs were completed to comply with the Uniform Physical Conditions Standards either during the inspection, issued work orders for the repairs, or referred the deficiency to the current year's or next year's Capital Fund program.** Please refer to the tracking system and other **Data Sources** for information this element.

**Element A11800. Percentage of contiguous sites (adjoining with no natural boundaries) inspected.** Read only. System generated.

**Calculations by system:**

[A11800] Percent of contiguous sites (adjoining with no natural boundaries) inspected = [A11300] The total number of contiguous sites (adjoining with no natural boundaries) where all systems were inspected according with the PHA maintenance plan / [A11100] Total number of contiguous sites (adjoining with not boundaries)

**Element A11900. Percentage of buildings inspected.** Read only. System generated.

**Calculations by system:**

[A11900] Percent of building inspected = [A11600] The total number of building where all systems were inspected according with the PHA maintenance plan / [A11400] Total number of buildings - [A11500] Total number of buildings exempted from the inspection of systems

## SUB-INDICATOR #6: SECURITY AND SELF-SUFFICIENCY

This sub-indicator evaluates a PHA's performance in tracking of crime-related problems in its developments; reporting incidence of crime to local law enforcement agencies; the adoption and implementation, consistent with Section 9 of the of the Housing Opportunity Program Extension Act of 1996. (One-strike and You're Out) (42 U.S.C. 1437 d (r), of applicant screening and resident eviction policies and procedures and other anticrime strategies. PHA performance under any HUD drug prevention and/or crime reduction grants, as applicable and PHA performance under any HUD economic self-sufficiency program that the PHA has HUD funding to implement. Also PHAs will get credit for the implementation of programs through partnerships with non-PHA providers, even if the programs are not funded by HUD or the PHA, if they choose to be assessed for them.

👉 **Remember:** PHAs must select either to be assessed for all or none of the non-HUD funded programs.

### **Data Sources:**

- Tracking systems for the various drug and crime programs and their goals
- Crime reports and statistics
- A log of crimes reported to local authorities
- Board adopted policy for a cooperative system to share information with local law enforcement agencies
- PHA Board of Commissioner approved policies to track crime-related problems
- PHA Board of Commissioner adopted Policy for applicant screening policies and criteria
- Documentation of cases where admission has been denied to applicants meeting the screening criteria
- Eviction records of residents who violate the lease for the reasons cited in the screening policy
- Goals and implementation plans for the various drug and crime programs
- Board minutes
- Board resolutions
- Listing of 911 calls
- Listing of criminal activity or problems identified by site manager
- Mapping information showing the crime rate by area
- Policies that encourage/require PHA staff to report crime
- Inspection of developments for evidence of visible criminal activity
- Documentation of PHA communications to residents encouraging the reporting of crime
- Admission and Occupancy Policy and implementing procedures
- PHA Housing Application includes screening questions
- Ineligibility Letters
- Documentation of eviction notices of "for cause" evictions

- Documentation of court judgments
- Warning letters issued to residents
- Internal occupancy reports showing number of lease violations for the three criteria outlined in "One-Strike And You're Out"
- Implementation plan(s) for drug prevention, crime-related and/or economic self-sufficiency program(s)
- Lists of attendees at various programs

👉 **Remember:** Keep a narrative explanation and the math calculations by units by days in the file for PHAS documentation.

## Component #1, Tracking and Reporting Crime-Related Problems

This component examines a PHA's performance in tracking crime and crime-related problems in its developments, identifies the reporting of incidents of crime to local police authorities, and if applicable, shows whether a PHA has a cooperative system with the local police authorities for tracking and reporting incidents of crime to local police authorities to improve law enforcement and crime prevention.

### Component#1: Tracking and Reporting Crime-Related Problems

S10000	The date that the PHA Board adopted current policies to track crime and crime related problems.	/ /
S10100	The date that the PHA implemented the current procedures to track crime and crime-related problems	/ /
S10200	The date that the PHA implemented a current cooperative system for tracking and reporting crime to local police authorities	/ /
S10300	The number of crimes that the PHA reported to local police authorities	
S10400	Percentage of developments where PHA can document it tracks crime and crime-related problems	%

**Element S10000. The date that the PHA Board adopted policies to track crime and crime-related problems.** Please refer to the Board approved crime tracking policies and other **Data Sources** for information for this element.

**Element S10100. The date that the PHA implemented the current procedures to track crime and crime-related problems.** Please refer to the Board minutes/resolutions and **Data Sources** for information requirements for this element.

**Element S10200. The date that the PHA implemented a current cooperative system for tracking and reporting crime to local police authorities.** Please refer to the Board of Commissioner approved cooperation policy and other **Data Sources** for information requirements for this element.

**Element S10300. The number of crimes that the PHA reported to the local authorities.** Please refer to the log of crimes reported to the local police authorities and other **Data Sources** for information requirements for this element.



**Element S10400. Percentage of developments where PHA can document it tracks crime and crime-related problems.** Please refer to the mapping information and other **Data Sources** for information requirements for this element.

## **Component #2, Screening of Applicants**

This component measures whether a PHA has formally adopted applicant screening policies and procedures and can document that it denies admission to an applicant who:

- Has a recent history of criminal activity involving crime to persons or property;
- Was evicted because of drug-related activity from assisted housing within the last three years, unless the applicant has successfully completed a rehabilitation program approved by the PHA;
- The PHA has reason to believe is illegally using a controlled substance, or engages in any drug-related activity on or off PHA property; or
- The PHA has reason to believe is abusing alcohol, which interferes with the health, safety or right to peaceful enjoyment of the premises by other residents.

### **Component#2: Screening of Applicants**

S10500	The date the PHA Board adopted current screening policies that reflect the One-Strike criteria	/	/
S10600	The date the PHA implemented current screening procedures that reflect the One-Strike criteria	/	/
S10700	PHA can document that current screening procedures result in successfully denying admission to applicants who meet the One-Strike criteria	Yes	No
S10800	The total number of applicants denied who met the One-Strike criteria		

**Element S10500. The date the PHA Board adopted current screening policies that reflects the One-Strike criteria.** Please refer to the Board of Commissioner minutes/resolutions and other **Data Sources** for information requirements for this element.

**Element S10600. The date the PHA implemented current screening procedures that reflect the One-Strike criteria.** Please refer to the Board of Commissioner minutes/resolutions and other **Data Sources** for information requirements for this element.

**Element S10700. PHA can document that current screening procedures result in successfully denying admissions to applicants who meet the One-Strike criteria, Yes or No.** Please refer to housing applications and other **Data Sources** for information requirements for this element.

**Element S10800. The total number of applicants denied who met the One-Strike criteria.** Please refer to ineligibility letters and other **Data Sources** for information requirements for this element.

### Component #3, Lease Enforcement

This component measures whether a PHA has formally adopted policies and implemented procedures to evict residents who the PHA has reasonable cause to believe:

- Engage in criminal activity that threatens the health, safety, or right to peaceful enjoyment of the premises by other residents or PHA personnel;
- Engage in any drug related criminal activity on or off of the PHA property; or
- Abuse alcohol in a way that interferes with the health, safety, and peaceful enjoyment of the premises by other residents or PHA personnel.

#### Component#3: Lease Enforcement

S10900	The date the PHA Board adopted current eviction procedures that reflect the One-Strike criteria	/ /
S11000	The date the PHA implemented current eviction procedures that reflect the One-Strike criteria	/ /
S11100	PHA can document that current eviction screening procedures resulted in the eviction of residents who meet the One-Strike criteria	Yes No
S11200	The total number of evictions as a result of the One-Strike criteria	

**Element S10900. The date the PHA Board adopted current eviction procedures that reflect the One-Strike criteria.** Please refer to the Board of Commissioner minutes/resolutions and other **Data Sources** for information requirements for this element.

**Element S11000. The date the PHA implemented current eviction procedures that reflect the One-Strike criteria.** Please refer to the Board of Commissioner minutes/resolutions and other **Data Sources** for information requirements for this element.

**Element S11100. PHA can document that current eviction screening procedures resulted in the eviction of residents who meet the One-Strike criteria, Yes or No.** Please refer to eviction notices for cause evictions and other **Data Sources** for information requirements for this element.

**Element S11200. The total number of evictions as a result of the One-Strike criteria.** Please refer to eviction notices for cause evictions and other **Data Sources** for information requirements for this element.

### Component #4, Drug Prevention, Crime Reduction and/or Economic Self-Sufficiency Program Goals

This component examines PHA management of HUD-funded programs. The PHA may want to self-certify to all public safety programs, or just the HUD-funded programs. This component measures whether the PHA has **ESTABLISHED** drug prevention or crime reduction and/or

economic self-sufficiency program GOALS and CAN DOCUMENT that it is meeting goals under the requisite plan(s).

**Component#4: Drug prevention, crime reduction and/or economic self-sufficiency program goals**

S11300	The number of HUD-funded drug prevention/crime reduction and/or economic self-sufficiency programs	
S11400	The number of non HUD-funded drug prevention/ crime reduction and/or economic self-sufficiency programs that the PHA requests to be assessed	
S11500	The number of documented program goals that are related to drug prevention/crime reduction and/or economic self-sufficiency	
S11600	The number of goals the PHA can document it met under the implementation plan(s) for any and all of these programs	
S11700	Percentage of goals that the PHA can document it met under implementation plan(s) for any and all of these programs	[READ ONLY] %

**Element S11300. The number of HUD-funded drug prevention/crime reduction and/or economic self-sufficiency programs that the PHA requests to be assessed.** Please refer to the Board of Commissioner minutes/resolutions and other Data Sources for information requirements for this element.

**Element S11400. The number of non-HUD drug prevention/crime reduction and/or economic self-sufficiency programs.** Please refer to the Board of Commissioner minutes/resolutions and other Data Sources for information requirements for this element.

👉 **Remember:** This is voluntary, the PHA does **NOT** have to be assessed on the non-HUD programs. There is no penalty for opting not to be assessed. Also if the PHA does not have any non-HUD programs, there is no penalty.

**Element S11500. The number of documented program goals that are related to drug prevention/crime reduction and/or economic self-sufficiency.** Please refer to the implementation plans and other Data Sources for information requirements for this element.

👉 **Remember:** PHAs must have comparative drug prevention/crime reduction and/or economic self-sufficiency statistics over time that can be used to show how the program goals are directly related. Ultimately, there should be some correspondence between the decline in the drug and crime rates AND the successful achievement of the program goals.

**Element S11600. The number of goals the PHA can document it met under the implementation plan(s) for any and all of these programs.** Please refer to the implementation plans and other Data Sources for information requirements for this element.

**Element S11700. Percentage of goals that the PHA can document if met under implementation plan(s) for any and all of these programs.** Read only. System generated.

Calculations by system:

[S11700] Percent of goals the PHA can document it met under the implementation plan (s) for any and all of these programs = [S11600]  
The number of goals that the PHA can document it met under the implementation plan (s) for any and all of these programs / [S11500] The  
number of documented program goal that are related to drug prevention/crime reduction and/or economic self-sufficiency

## ADJUSTMENTS FOR PHYSICAL CONDITION AND/OR NEIGHBORHOOD ENVIRONMENT

The overall physical score for a property will be upwardly adjusted to the extent that negative conditions are caused by situations outside the control of the PHA. These situations are related to poor physical condition of the property or the overall depressed condition of the immediately surrounding neighborhood. The intent of this adjustment is to not unfairly penalize the PHA through appropriate application of the adjustment.

Adjustments will be considered for the following three areas:

- Physical condition of the site;
- Physical condition of the common areas on the property; and
- Physical condition of the building exteriors.

The definition and application of physical condition and neighborhood environment factors are:

- ***Physical Condition***: applies to properties over 10 years old and that have not received substantial rehabilitation in the past 10 years.
- ***Neighborhood Environment***: applies to properties located where the immediate surrounding neighborhood (that is a majority of the population that resides in the census tracts or census block groups on all sides of the development) has at least 51 percent of families with incomes below the poverty rate as documented by the latest census data.

👉 **Remember:** HUD will adjust the physical score of a PHA's property subject to both the physical condition (property age) and neighborhood environment conditions and units, which are affected by both physical condition and neighborhood environment, ARE ONLY COUNTED ONCE.

The PHA is to certify on the management operations certification, form HUD-50072, the extent to which the conditions apply, and to the inspectable area the extra point should be added.

The adjustment will be made to the scores assigned to the applicable inspectable areas so as to reflect the difficulty in managing the project(s). In each instance where the actual physical condition of the inspectable area (site, common area, building exterior) is rated below the maximum score for that area, 1 point will be added, but not to exceed the maximum points available to the inspected area.

👉 **Remember:** PHAs that receive the maximum potential weighted points on the inspectable areas may not claim any additional adjustments for physical conditions and/or neighborhood environments for the respective inspectable area (s).

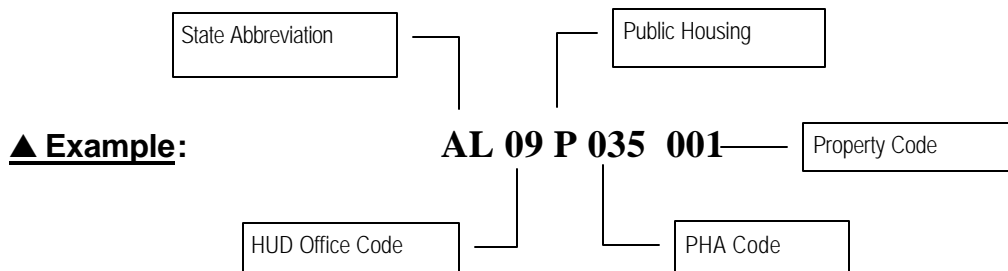
### Adjustments for Physical Condition and/or Neighborhood Environment

Please enter project number and name and indicate which area the adjustment for Physical Condition and/or Neighborhood Environment applies for a project. (Check all that apply)

Project No.	Project Name	Site	Common Areas	Building Exteriors
		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

To complete this process, enter the number of the project or projects you are certifying for adjustment. Please note: the project number is the ACC project number for the development you are certifying.

The number should show the first two number being the two-letter state abbreviation, then two-digit reflecting the HUD office code, the letter “P” for Public Housing followed by a three digit PHA code and finally a three-digit property code.



PHAs are required to maintain documentation related to this element. Please know that when this information is electronically submitted it will be automatically validated against the records that are stored in HUD’s system database.